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08-21-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	03485-P0002A
First Inventor	Jocelyn Tristram Gervais Wood
Title	Data Processing System For Initiating And Administering Financial Products
Express Mail Label No.	EL 574 212 315 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status  
See 37 CFR 1.27.

3.  Specification [Total Pages 37] 37

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claims(s)
- Abstract of the Disclosure

4.  Drawings(s) (35 USC 113) [Total Sheets 3] 3

5. Oath or Declaration [Total Pages 0] 0

- a.  New executed (original or copy)
- b.  Copy from prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)
- i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6.  Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part of prior application No. PCT/GB00/00596 filed February 19, 2000

Prior application information: Examiner Group Unit:

Priority Claimed: GB9903766.5 filed February 18, 1999

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS** Customer Number of Bar Code Label

24126

 Correspondence address below

Insert Correlation No. or date on back of label here

Name	Wesley W. Whitmyer, Jr.			
Address	St.Onge Steward Johnston & Reens LLC 986 Bedford Street			
City	Stamford	State	CT	Zip Code
Country	United States	Telephone	203 324-6155	Fax

Name (Print/Type)	Wesley W. Whitmyer, Jr.	Registration No. (Attorney/Agent)	33,558
Signature			
Date	8/20/01		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Times will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

J1017 U.S.P. P.  
08/20/01

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

## TOTAL AMOUNT OF PAYMENT

(\$)

355.00

Attorney Docket Number 03485-P0002A WWW

## METHOD OF PAYMENT (check one)

The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

Deposit Account Number	19-4516
Deposit Account Name	St.Ongre Stewart Johnston & Reens LLC

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit Card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1651	201	355 Utility filing fee	355.00
166	320	206 Design filing fee	
167	490	207 245 Plant filing fee	
168	710	208 355 Reissue filing fee	
114	150	214 75 Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>			<b>355.00</b>

## 2. EXTRA CLAIMS FEES

Total Claims	Independent Claims	Extra Claims	Fee from Below	Fee Paid
14	20**	0	X	=
1	3**	0	X	=

Multiple Dependent Large Entity Small Entity Fee Code (\$)

Fee Code (\$)

Fee Description

PATENT  
03485-P0002A WWW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	Jocelyn Tristram Gervais Wood
Serial No. 09/	Filing Date: August 20, 2001
Title of Application	Data Processing System For Initiating And Administering Financial Products
Group Art Unit	Examiner

Assistant Commissioner for Patents  
Washington, DC 20231

Change of Address

Dear Sir:

Please note the address of the applicant, Jocelyn Tristram Gervais Wood,  
has been changed to:

10 Village Court  
Chelsea Village  
Fulham Road  
London SW6 1HZ  
Great Britain

Respectfully submitted,



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